

REMARKS / ARGUMENTS

In connection with the Request for Continued Examination filed herewith, Applicants hereby respond to the Final Office Action dated January 27, 2005 ("the Office Action"), in which claims 151-155 and 186-195 were rejected. Applicants respectfully request that the Office consider the following remarks, and pass the pending claims to issuance.

In the Office Action, the Examiner: (i) objected to the Information Disclosure Statement for failing to comply with 37 C.F.R. § 1.98(a)(2), and (ii) rejected claims 151-155 and 186-195 under 35 U.S.C. § 102(e) as allegedly being anticipated by Benson et al. (5,845,281).

Information Disclosure Statement

Applicants file herewith, under separate cover to facilitate the disparate USPTO processing required therefor, an Information Disclosure Statement in compliance with 37 C.F.R. § 1.98(a)(2). Specifically, hardcopy submissions of all non-patent literature and foreign patent references are submitted in this accompanying IDS.

Rejection of Claims 151-155 and 186-195 under 35 U.S.C. § 102(e)

In the Office Action, the Examiner rejected all of the pending claims under 35 U.S.C. § 102(e) as being anticipated by U.S. Patent No. 5,845,281 to Benson et al. ("Benson").

Applicants respectfully submit that the pending claims are allowable over Benson for at least the reasons set forth below.

Claims 151 and 191 recite the association of a rule with a secure container, the rule at least in part specifying potential users or recipients of the secure container contents, the specifying being based at least in part on a class to which the potential users or recipients have been assigned. Claims 151 and 191 further recite evaluating a digital certificate associated with a potential user or recipient, determining, based at least in part on the digital certificate, that the potential user or recipient has been assigned to the class, and, based on the determination, making at least some of the secure container contents available to the potential user or recipient.

Applicants respectfully submit that Benson does not teach or suggest, *inter alia*, evaluating a digital certificate associated with a potential user or recipient, determining, based at least in part on the digital certificate, that the potential user or recipient has been assigned to a class, and, based on the determination, making at least some of a secure container's contents available to the potential user or recipient.

Indeed, Benson does not even mention digital certificates, much less the use of digital certificates in the manner recited in claims 151 and 191. Instead, the cited portions of Benson refer generically to "security modules" (see Benson col. 6, lines 49-54) and the examination of various information, including "user type" (see Benson col. 9, line 60 through col. 10, line 5). Benson does not indicate that digital certificates are used in any manner by these security modules, or that the examination of "user type" involves the use

of digital certificates. This is because Benson is completely silent about digital certificates and their use. In fact, Benson teaches away from the use of digital certificates by indicating that information on user type would be manually entered by the user. See Benson col. 14, lines 52-55 ("Next, the user program 35 compares the first control element data which is 1, for educational users only, to user information **entered by the user** on request of the user program. Since the user type **entered by the user** is the same as that indicated in the first usage element the process continues.)(emphasis added). For at least these reasons, Applicants respectfully submit that claims 151 and 191 are not anticipated by Benson.

In addition, claim 191 recites the assignment of potential users or recipients to a class, the assignment being based at least in part on information regarding the potential user or recipient's **previous use** of content. Applicants respectfully submit that Benson does not teach or suggest this element.

Instead, the cited portions of Benson describe the creation of a user set of control data based on a general set of control data, a copy of which can be stored in a broker's database, and against which the broker can "compare **subsequent use**" (see Benson col. 10, lines 15-22)(emphasis added). The cited passage does not describe the assignment of potential users or recipients to a class, much less the assignment of potential users or recipients to a class based on their **previous** use of content. Indeed, to the extent Benson describes an examination of content usage, it is performed after the creation of the user set of control data, and it is not used to assign the user to a class. Moreover, to the extent Benson describes different types of users (e.g., student users and business users), these types reflect differences in the users' socio-economic status, and do not suggest a classification based on users' previous use of content. For at least these additional

reasons, Applicants respectfully submit that claim 191 is not anticipated by Benson.

Claims 152-155, 186-190, and 192-195 are ultimately dependent on claims 151 or 191, and are thus allowable for at least the reasons set forth above in connection with claims 151 or 191, respectively.

CONCLUSION


In view of the foregoing remarks, Applicants submit that the pending claims are in allowable form, and respectfully request reconsideration of the rejections and the timely allowance of the pending claims.

Please grant any extensions of time required to enter this response and charge any additional required fees to our Deposit Account 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: July 26, 2005

By: 
Andrew B. Schwaab
Reg. No. 38,611

Finnegan, Henderson, Farabow
Garrett & Dunner, L.L.P.
901 New York Ave., N.W.
Washington, D.C. 20001
Attorney direct (650) 849-6643

Appln. No. 09/498,369
Information Disclosure Statement submitted July 27, 2005
filed concurrently with RCE, under separate cover

PATENT
Customer No. 22,852
Attorney Docket No. 7451.0010-01
Intertrust Ref. No.: IT-14.1 (US)



COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re Application of:

Victor H. Shear, et al.

Serial No.: 09/498,369

Filed: February 4, 2000

For: METHODS FOR MATCHING,
SELECTING, AND/OR
CLASSIFYING BASED ON
RIGHTS MANAGEMENT AND/OR
OTHER INFORMATION

)
)
) Group Art Unit: 3629
)
) Examiner: Thomas A. DIXON
)
)
)
) Confirmation No.: 8725
)
)
)
)
)

Mail Stop - AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

COPY

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)

Applicants submit this paper in association with a Request for Continued Examination, which is filed under separate cover due to the disparate processing required by the Office. Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants hereby resubmit the documents on the attached listing in hardcopy format. This Information Disclosure Statement is being filed before the mailing date of a first Office Action after the filing of a Request for Continued Examination in the above-referenced application.

Copies of the listed non-patent literature and foreign patent documents are attached.

Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

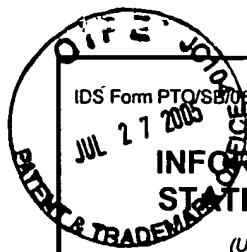
Dated: July 26, 2005

By: _____



Andrew B. Schwaab
Reg. No. 38,611

Finnegan Henderson Farabow
Garrett & Dunner L.L.P.
901 New York Ave., N.W.
Washington, D.C. 20001
Attorney direct (650) 849-6643



IDS Form PTO/SB/08: Substitute for form 1-9A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 1 of 25

Note: Submission of copies of U.S. Patents and published U.S. Patent Applications is not required.

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation ⁴
		Country Code ¹ Number ² Kind Code ³ (if known)				
		AU-A-36815/97	2/19/1998			
		AU-A-36816/97	2/19/1998			
		AU-A-36840/97	2/19/1998			
		DE 29 43 436 A1	10/26/1979			
		EP 0 367 700 A2	5/9/1990			
		EP 0 567 800 A1	11/3/1993			
		EP 0 653 695 A2	5/17/1995			
		EP 0 913 757 A2	5/6/1999			
		JP 06-225059	8/12/1994			
		GB2136175A	9/12/1984			
		WO 96/27155	9/6/1996			
		WO 97/43761	11/20/1997			
		WO 98/09209 (equivalent to US-5,892,900)	3/5/1998			
		WO 98/10381	3/12/1998			
		WO 98/37481 (equivalent to US-5,920,861)	8/27/1998			
		WO 98/45768	10/15/1998			
		WO 99/01815	1/20/1999			
		WO 99/24928 (equivalent to US-6,112,181)	5/23/1999			
		WO 99/48296	9/23/1999			

NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation ⁶
		A Brief History of the Green Project, viewed on March 12, 2002 at < http://java.sun.com/people/jag/green/index.html > pp. 1-2.	
		A Guide to Understanding Security Modeling in Trusted Systems, National Security Agency, October 1992, 122 pages.	
		A2b's Recent Press Coverage, 1998.	
		Abadi, M., et al., "A Calculus for Access Control in Distributed Systems", Digital Equipment Corporation, Feb. 28, 1991, revised August 28, 1991.	
		Abrams, Marshall D, "Renewed Understanding of Access Control Policies", Proceedings of the 16th Computing National Security Conference, 1993.	
		Access Control and Copyright Protection for Images Security Technology for Graphics	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 2 of 25

NON PATENT LITERATURE DOCUMENTS

	and Communication Systems - RACE M1005: ACCOPI, web page, Security Projects at Fraunhofer 1GD, 2002.	
	Achievements Archive, www.imprimatur.net/ web pages.	
	Aharonian, G., "Software Patents - Relative Comparison of EPO/PTO/JPO Software Searching Capabilities," Source Translation & Optimization.	
	An Introduction to Safety and Security in Telescript, (undated), 8 pages.	
	Anderson, R., "Why Cryptosystems Fail," University Computer Laboratory, Cambridge, Massachusetts, (undated), pp. 1-34.	
	Antonelli et al, "Access Control in a Workstation-Based Distributed Computing Environment," CITI Technical Report 90-2, July 17, 1990.	
	Arms, W.Y., "Key Concepts in the Architecture of the Digital Library," D-Lib Magazine, Jul. 1995.	
	Atkins, D., et al., "The Magic Words are Squeamish Ossifrage," (undated), 15 pages.	
	Atkinson, R., "Security Architecture for the Internet Protocol," Network Working Group RFC 1825, Aug. 1995.	
	Aucsmith, D., et al., "Common Data Security Architecture," Intel Architecture Lab, Presentation Material, January 22, 1996, pp. 1-16.	
	Aucsmith, David, "Tamper Resistant Software: An Implementation", IAL.	
	Authentication dans les environnements de traitement distribues, Information Systems Audit and Control Association-Montreal Chapter, viewed on March 25, 2002 at <http://www.apvcsi-montreal.ca/en/publications/contact133.html> pp. 1-15.	
	Avery, et al., "Recommender Systems for Evaluating Computer Messages," Communications of the ACM, Mar. 1997, pp. 88-89.	
	Baker, R.H., The Computer Security Handbook, Tab Books, Inc., 1985.	
	Balbanovic, et al., "Content-based, Collaborative Recommendation, Communications of the ACM, Mar. 1997, pp. 66-72.	
	Barassi, T.S., "The Cybernotary: Public Key Registration and Certification and Authentication of International Legal Transactions," (undated), 4 pages.	
	Bartock, P.F., et al., "Guide to Securing Microsoft Windows NT Networks," National Security Agency, September 18, 2001, pp. 1-132.	
	Bellare, M., "iKP-A Family of Secure Electronic Payment Protocols," April 16, 1995, pp. 1-19.	
	Bell-Labs Secure Technologies, "Information Vending Encryption System (IVES)™," Lucent Technologies, May 31, 2002, pp. 1-16.	
	Bellovin, S.M., "Encrypted Key Exchange: Password-Based Protocols Secure Against Dictionary Attacks," Proceedings of the IEEE Symposium on Research in Security and Privacy, Oakland, California, May 1992, 13 pages.	
	Bellovin, S.M., "There Be Dragons," AT&T Bell Laboratories, August 15, 1992, 16 pages.	
	Bender et al. "Techniques for Data Hiding," IBM Systems Journal, Vol. 35, Nos. 3&4, 1996.	
	Berghal et al., "Protecting Ownership Rights Through Digital Watermarking," IEEE Computing, Vol. 29, No. 7, Jul. 1996.	
	Berkovitz, S. et al., "Authentication of Mobile Agents," Mobile Agents and Security, Springer-Verlag, Giovanni Vigna, Ed., 1998, pp. 114-136.	
	Berners-Lee, T.J., et al., "Networked Information Services: The World-Wide Web,"	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 3 of 25

NON PATENT LITERATURE DOCUMENTS

	Computer Networks and ISDN Systems, 1992, pp. 454-459.	
	Bernstein et al., "Copyrights, Distribution Chains, Integrity, and Privacy: The Need for a Standards-Based Solution," Electronic Publishing Resources.	
	Bertino, Elisa, "Data Hiding and Security in Object-Oriented Databases," Dipartimento di Matematica, Universita di Genova, IEEE, 1992, pp.338-347.	
	Bickel, R., et al., "Guide to Securing Microsoft Windows XP," National Security Agency, October 30, 2002, pp. 1-129.	
	Birrell, Andrew, D., et al., "A Global Authentication Service Without Global Trust," Proceedings of the IEEE Symposium on Security and Privacy, Oakland, California, April 1986, pp. 1-11.	
	Bishop, M., "Anatomy of a Proactive Password Changer," Department of Mathematics and Computer Science, Dartmouth College, (undated), 15 pages.	
	Bishop, M., "Privacy-Enhanced Electronic Mail," Privacy and Security research Group, IAB.	
	Blaze, M. et al., "Decentralized Trust Management," Proc. IEEE Conference on Security and Privacy, 1996, pages 164-173.	
	Blaze, Matt, et al., "The Architecture and Implementation of Network Layer Security Under Unix", Columbia University and AT&T Bell Laboratories, 1994.	
	Boisson, Jean-Francois, "1-Business Perspectives and Requirements, 2-The CITED Project: Keys and Knowledge," CITED 5469.	
	Boisson, Jean-Francois, "How to CITEDise Application: Guidelines and Examples," CITED 5469.	
	Boisson, Jean-Francois, "Management of Intellectual Property Rights in the Electronic Commerce: Textile Design Sales and Other Similar Initiatives," EURITIS.	
	Boisson, Jean-Francois, "Software Components; Deliverable Trial Offer, " CITED 5469.	
	Boly, J.P., et al., "The ESPRIT Project CAFÉ: High Security Digital Payment Systems," ESCORICS 94, European Symposium on Research Computer Security, Springer-Verlas Berlin, 1994, pp. 217-230.	
	Boone, J.V., et al., "The Start of Digital Revolution: SIGSALY Secure Digital Voice Communications in World War II," December 10, 2002.	
	Borenstein, N., "MIME Extensions for Mail-Enabled Applications: Application/Safe-Tel and Multipart/Enabled-Mail," November 1993, 24 pages.	
	Born, E, et al., "Discretionary Access Control by Means of Usage Conditions," Computers & Security, vol. 13, no. 5, 1994, pp. 437-450.	
	Bos et al., "SmartCash: a Practical electronic payment System," Center for Mathematics and Computer Science, Report CS-R9035.	
	Brands, S., "Untraceable Off-line Cash in Wallets with Observers," CWI, (undated), 17 pages.	
	Brassil et al., "Electronic Marking and Identification Techniques to Discourage Document Copying," AT&T Bell Laboratories, Proc. Infocom 94, 1994.	
	Breon, R., et al., "Microsoft Office 97 Executable Content Security Risks and Countermeasures," National Security Agency, December 20, 1999, pp. 1-44.	
	Brickell, E.F., et al., "The SKIPJACK Algorithm," July 28, 1993, pp. 1-7.	
	Brin, Sergey, et al., "Copy Detection Mechanism for Digital Documents", Stanford University.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
Sheet	4	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Brockschmidt, Kraig, "A Primer on Designing Custom Controls," Microsoft Systems Journal, March/April 1992, pp. 87-101.	
		Brockschmidt, Kraig, "Implementing OLE 2.0, Part III: Uniform Data Transfer with Data Objects," Microsoft Systems Journal, December 1993, pp. 47-77.	
		Brockschmidt, Kraig, "Introducing OLE 2.0, Part 1: Windows Objects and the Component Object Model," Microsoft Systems Journal, August 1993, pp. 15-23.	
		Brockschmidt, Kraig, "OLE 2.0 Part II: Implementing a Simple Windows Object Using Either C or C++," Microsoft Systems Journal, October 1993, pp. 45-62.	
		Brockschmidt, Kraig, Inside OLE 2, Microsoft Press Programming Series, 1994.	
		Brown, C.W., "Security for Minicomputers and Microcomputers," (undated), pp. 285-298.	
		Brown, Patrick W., "Digital Signatures: Can They Be Accepted as Legal Signatures in EDI?," 1st Conference on Computer and Communication Security, November 1993, pp. 86-92.	
		Brumm, P., et al., 80386/80486 Assembly Language Programming, Windcrest/McGraw-Hill, 1993.	
		Brunnstein et al., "Intellectual Property Rights and new Technologies," Proceedings of the KnowRight '95 Conference, Aug. 1995.	
		Bureau Van Dijk, Management Report for Task 4.5: Feasibility Study of the Cited Agency, 1992-1993.	
		Bureau Van Dijk, Gestion Des Contrats; 497C.C.C.E.: CITED (SUITE), Feb. 1993.	
		Bureau Van Dijk, CITED: Preparation of the CITED Model Functional Requirements Specifications; Discussion Paper (Revision 1), Jan. 16, 1991.	
		Bureau Van Dijk, CITED: Preparation of the CITED Model Functional Requirements Specifications; Reports of the Interviews with Five CITED Partners," (Partners: Sagem, Telesystemes, NTE, Elsevier, Oxford University Press), Apr. 5, 1991.	
		Byte.com, "Speaking the Same Language," May 1994, pp. 1-2.	
		Cabell, D., et al., "Software Protection," May 1985, pp. 35-37.	
		Calas, C., "Distributed File System Over a Multilevel Secure Architecture Problems and Solutions," Computer Security, ESCORICS 94, Brighton, United Kingdom, November 7-9, 1994, pp. 281-297.	
		CardTech/SecurTech 94 Conference Proceedings, "Building Foundations for Innovation," CardTech/SecurTech, Inc., April 1994, 1,031 pages.	
		Case, J., "A Simple Network Management Protocol (SNMP)," Network Working Group, May 1990, pp. 1-21.	
		Champine, G., MIT Project Athena: A Model for Distributed Campus Computing, Digital Equipment Corporation, 1991, 22 introductory pages, Chapter 1 (pp. 3-18); Chapter 2 (pp. 19-33); Chapter 3, (pp. 37-68); Chapter 4 (pp. 69-75); Chapter 5 (pp. 79-107); C	
		Chase, Chevy, M.D., "DiscStore", Electronic Publishing Resources, 1991.	
		Chaum, D. et al. "Wallet databases with observers," Ernest F. Brickell, editor, Advances in Cryptology - CRYPTO '92, 12th Annual International Cryptology Conference, Santa Barbara, CA, August 16-20, 1992, Proceedings, pp. 89-105.	
		Chaum, David L., "Achieving Electronic Privacy," Scientific American, August 1992, 6 pages.	
		Chaum, David L., "Privacy and Social Protection in Electronic Payment Systems,"	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

5

of

25

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS

	Chapter 12, The Future of Money in the Information Age.	
	Chaum, David L., "Security Without Identification Card Computers to Make Big Brother Obsolete," Communications of the ACM, Vol. 28., No. 10, Oct. 1985, pp. 1-24.	
	Chaum, David L., "Smart Card 2000," Selected Papers from the Second International Smart Card 2000 Conference, Oct. 4-6, 1989.	
	Chaum, David L., "Untraceable Electronic Cash," Extended Abstract, Center for Mathematics and Computer Science, 1988, pp. 319-327.	
	Chaum, David L., et al., "Implementing Capability-Based Protection Using Encryption," College of Engineering, University of California, Berkeley, July 17, 1978, 12 pages.	
	Chess, D., "Security Issues in Mobile Code Systems," Mobile Agents and Security, Springer-Verlag, Giovanni Vigna, Ed., 1998, 14 pages.	
	Chor et al., "Tracing Traitors," Crypto 94, 1994, page 257.	
	Choy, D.M., et al., "A Digital Library System for Periodicals Distribution", May 1996.	
	Cina Jr. et al., "ABYSS: A Basic Yorktown Security System PC Software Asset Protection Concepts," IBM Research Report No. RC 12401, IBM Thomas J. Watson Research Center, Dec. 18, 1986.	
	CITED: Copyright in Transmitted Electronic Documents, Special Interest Group, CITED Meeting, Heathrow, Sep. 22, 1993.	
	CITED: Final Report: A Guide to CITED Documentation," ESPIRIT, Project 5469, ISBN 0-7123-2115-2, The CITED Consortium, Sept. 1994.	
	Clark, Paul C., et al., "BITS: A Smartcard Protected Operating System," Communications of the ACM, vol. 37, no. 11, November 1994, pp. 66-70 & 94.	
	Clarke et al., "Cryptography Issues in Plain Text," Privacy Law and Policy Reporter, 1996.	
	Coad, Peter, "Object-Oriented Patterns," Communications of the ACM, vol. 35, no. 9, September 1992, pp. 152-159.	
	Cohen, F.B., Protection and Security on the Information Superhighway, John Wiley & Sons, Inc., 1995.	
	Competitive Analysis AT&T/a2b music, Jun. 16, 1998.	
	Constructing a High Assurance Mail Guard, Secure Computing, 1994, pp. 1-10.	
	Cook, S., "Net Results," PC World, December 1985, pp. 270-328.	
	Copyright Ownership Projection in Computer-Assisted Training, COPICAT - 8195, ESPRIT, Dec. 1993.	
	COPYSMART - 20517: "CITED Based Multi-media IPR Management on Cost Effective Smart Device," European Information Technology for Information Science, start date Dec. 1, 1995.	
	CopySmart (CSM) suit, European Information technology for Information Science.	
	Corbato, F.J., et al., "Introduction and Overview of the Multics System," viewed on November 13, 2001 at < http://www.multicians.org/fjcc1.html > pp. 1-18.	
	Cornish, Graham, "Copyright Management of Document Supply in an Electronic Age," The CITED™ Solution, Interlending & Document Supply, Vol. 21, No. 2, 1993, pp. 13-20.	
	Cousins, Steve B. et al., "InterPay: Managing Multiple Payment Mechanisms in Digital Libraries."	
	Coutrot, Francois, et al., "A Single Conditional Access System for Satellite-Cable and	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Complete if Known		
			<i>Application Number</i>	09/948,369	
			<i>Filing Date</i>	February 4, 2000	
			<i>First Named Inventor</i>	Victor H. SHEAR et al.	
			<i>Art Unit</i>	3629	
			<i>Examiner Name</i>	Thomas A. DIXON	
<i>Sheet</i>	6	of	25	<i>Attorney Docket Number</i>	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Terrestrial TV", IEEE Transactions on Consumer Electronics, Vol. 35, No. 3, Aug. 1989.	
		Cox, B., "Superdistribution," Wired, September 1994, 2 pages.	
		Cox, Benjamin et al., "NetBill Security and Transaction Protocol," Carnegie Mellon University.	
		CREANET - Creative Rights European Agency NETwork - Project Profile, Information Society Technologies, Feb. 18, 2000.	
		Crocker et al., "MIME Object Security Services," Network Working Group RFC 1848, Oct. 1995.	
		Cryptographic API Specification, Version 0.6, Microsoft, Mar. 1995.	
		Cryptolope Containers Technology: A White Paper, IBM InfoMarket Business Development Group.	
		Curry, D.A., "UNIX System Security: A Guide for Users and System Administrators, Addison-Wesley Publishing Company, Inc., 1992.	
		Curry, David A., "Improving the Security of Your Unix System," Final Report April 1990, pp. 1-74.	
		Custer, H., Inside the Windows NT File System, Microsoft Press, 1994.	
		Cybenko, G, et al., "Cognitive Hacking: A Battle for the Mind," Computer, August 2002, 0018-9162/02\$2002 IEEE, pp. 50-56.	
		Data Network and Open System Communications, Directory: Information Technology - Open Systems Interconnection - The Directory: Overview of Concepts, Models, and Services," ITU-T Recommendation X.500, International Telecommunication Union, Nov. 1993.	
		Data Widgets 2.0: Programmer's Guide, Sheridan Software Systems, Inc., 1993-1995.	
		Date, C.J., "An Introduction to Database Systems," 4th. Ed., Vol. 1, Addison-Wesley Publishing Company, 1987.	
		Davin, J., et al., "SNMP Administrative Model," Network Working Group, July 1992, pp. 1-22.	
		Davis, D., et al., "Network Security via Private-Key Certificates," MIT Project Athena, (undated), pp. 1-4.	
		DCE Technology at Work, Distributed Computing Environment, http://www.opengroup.org/tech/dce/tech/tech.htm , November 7, 2000, pp. 1-3.	
		Deering, S.E., "Host Extensions for IP Multicasting," Network Working Group, RFC 1112, Aug. 1989.	
		Deliverable D3: Specification of the Infrastructure and Explanation of Trust and Confidence Building Solutions, Ver. 0.1, Telenet, Jul. 18, 2000.	
		Denning, A., OLE Controls Inside Out, Microsoft Press, 1995.	
		Denning, P.J., Computer Under Attack: Intruders, Worms, and Viruses, ACM Press, 1990.	
		Department of Defense Computer Security Center, "Department of Defense Password Management Guideline," Department of Defense Computer Security Center, April 12, 1985, pp. 1-34.	
		Department of Defense Standard, "Department of Defense Trusted Computer System Evaluation Criteria," December 1985, pp. 1-72.	
		Deutsch, P., "GZIP File Format Specification Version 4.3," Network Working Group, May 1996, pp. 12.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
Sheet	7	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Diffie, Whitfield, "Authentication and Authenticated Key Exchanges", Sun Microsystems and Bell-Northern Research, March 6, 1992.	
		Diffie, Whitfield, "The First Ten Years of Public-Key Cryptography", Proceedings of the IEEE, Vol. 76, No. 5, May 1988.	
		Diffie, Whitfield, et al., "New Directions in Cryptography," IEEE Transactions on Information Theory, Vol. 22, No. 6, Nov. 1976, pp. 644-51.	
		Diffie, Whitfield, et al., Privacy on the Line: The Politics of Wiretapping and Encryption, Massachusetts Institute of Technology, 1998.	
		Digital Broadband Delivery System, Phase 1.0, System Overview, Revision 1.0, Scientific Atlanta, 1997.	
		Digital Rights Enforcement and Management: SuperDistribution of Cryptolopes, IBM.	
		DiLascia, Paul, "OLE Made Almost Easy: Creating Containers and Servers Using MFC 2.5," Microsoft Systems Journal, April 1994, pp. 13-33.	
		Doster et al., "Third-Party Authentication in the Institutional File System," Center for Information Technology Integration.	
		Dougherty, D., et al., The Mosaic Handbook for the X Window System, O' Reilly & Associates, 1994.	
		Downs, D.D., et al., "Issues in Discretionary Access Control," Proceedings of the 1985 Symposium on Security and Privacy, April 22-24, 1985, Oakland, California, pp. 208-218.	
		Dukach, S., "SNPP: A Simple Network Payment Protocol," MIT Laboratory for Computer Science, (undated), 7 pages.	
		Eastlake III, D., "Physical Link Security Type of Service," Network Working Group RFC 1455, May, 1993.	
		Eastlake III, D., et al., "Randomness Recommendations for Security," Network Working Group RFC 1750, Dec. 1994.	
		EFT Network Data Book; 1993 Edition, Bank Network News, Vol. 11, No. 13, Nov. 1992.	
		Eizenberg, G., "Contribution of Information Technology Security to Intellectual Property Protection," CERT-DERI.	
		Electronic Reverse Copyright Management System (ERCOMS), International Institute for Electronic Library Research, website updated by Ramsden, Anne, Jul. 22, 1996.	
		Ellison, C. et al., "SPKI Certificate Theory," Internet Engineering Task Force (IETF) RFC 2693, Sept. 1999, 38 pages, available at http://www.ietf.org/rfc/rfc2693.txt?number=2693	
		Email from Chris Drost-Hansen re press release: "AT&T Launches A2B Music Trial for Delivering Songs Over the Internet," Business Wire, Nov. 3, 1997.	
		Email from Edmond Kouka to Jean-Francois Boisson re TELENET TELEtraining platform - Bogdan Lutkiewicz, Poland, Gdansk, Mar. 4, 2001.	
		Enterprise Solutions Announces RSA Mail, RSA Security News, viewed at < http://rsasecurity.com/news/pr/940112-2.html >, dated January 12, 1994, pp. 1-2.	
		Epstein, J., "A Trusted X Window System Server for Trusted Mach," Usenix Association Proceedings, Mach Workshop, October 4-5, 1990, Burlington, Vermont, pp. 141-155.	
		Erickson, John S., "A Copyright Management System for Networked Interactive Multimedia", Proceedings of the 1995 Dartmouth Institute for Advanced Graduate Studies, 1995.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Complete if Known		
			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
Sheet	8	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Erickson, John S., "Rights Management Through Enhanced Attribution", Presented at INET 96 Proceedings, June 1996.	
		ESPRIT Project 20517 - COPYSMART CITED based multi-media IPR management on cost effective smart device, Summaries of Projects (FP III/IV) - Part I, European Information technology for Information Science, Oct. 1998.	
		ESPRIT Project 20676 - IMPRIMATUR - Intellectual Multimedia Property Rights Model and Terminology for Universal Reference," IMPRIMATUR Consortium, Oct. 1998.	
		ESPRIT Project 22226 - MUSE - Developing Standardized Digital media Management, Signaling and encryption Systems for the European Music Sector," International Federation of the Phonographic Industry, Oct. 1998.	
		ESPRIT Project 24378 - MENHIR European Multimedia Network of High Quality Image Registration," Museums On Line, Feb. 1, 1997.	
		ESPRIT Project: 5469: Contract Amendment Number 2; Commission of the European Communities, Sep. 16, 1993.	
		Europe and The Global Information Society Recommendations to the European Council, Bamgemann Report, www.medicif.org web pages, Global Information Society, May 1994.	
		Everett, David B., "Smart Card Tutorial-Part 1," Sep. 1992.	
		Farmer, D., "The COPS Security Checker System," July 10, 1992.	
		Federal Criteria for Information Technology Security," Vol. II, Version 1.0, National Institute of Standards and Technology and National Security Agency, December 1992, 270 pages.	
		Feistel, H. "Cryptographic Coding for Data-Bank Privacy," IBM document RC 2827, Mar. 18, 1970.	
		Ferraiolo, D., et al., "Role-Based Access Control," Reprinted from the Proceedings of the 15th National Computer Security Conference, 1992, pp. 1-11.	
		Financial Transaction Card Originated Messages - Interchange Message Specifications - Part 2: Application and registration Procedures for Institution Identification Codes (IIC), ISO 8583-2, Jul. 1, 1998.	
		Financial Transaction Card Originated Messages - Interchange Message Specifications - Part 3: Maintenance Procedures for Codes, ISO 8583-3, Jul. 1, 1998.	
		Fine, T., et al, "Assuring Distributed Trusted Mach," Secure Computing Corporation, 1993, 13 pages.	
		Finin et al., "A Language and Protocol to Support Intelligent Agent Interoperability," Proceedings of the CE & CALS, Washington '92 Conference, Apr. 1992.	
		Forcht, K.A., Computer Security Management, Boyd & Fraser Publishing Company, 1994.	
		Forum on Risks to the Public in Computers and Related Systems, The Risks Digest, Vol. 15; Issue 39, January 21, 1994, pp. 1-12.	
		Forum on Technology-Based Intellectual Property Management - Electronic Commerce for Content, IMA Intellectual Property Proceedings, Vol. 2, June 1996.	
		Franklin, M., et al., "An Overview of Secure Distribution Computing," March 24, 1992, pp. 1-46.	
		Franz, M., "Technological Steps Toward a Software Component Industry," Institut fur Computersysteme, Zurich, Switzerland, (undated), 23 pages.	
		Frederick, Keith P., "Certification and Accreditation Approach", Air Force Cryptologic Support Center (OL-FP).	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known			
		Application Number	09/948,369		
		Filing Date	February 4, 2000		
		First Named Inventor	Victor H. SHEAR et al.		
		Art Unit	3629		
		Examiner Name	Thomas A. DIXON		
Sheet	9	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		FreeBSD System Manager's Manual "LDCONFIG", Oct. 3, 1993.	
		Fuchsberger et al., "Public-key Cryptography on Smart Cards," Information Security Group.	
		Fugini, M.G., et al., "Authorization and Access Control in the Office-Net System," Computer Security in the Age of Information, 1989, pp. 147-162.	
		Fugini, M.G., et al., "Security Management in Office Information Systems," Computer Security: A Global Challenge, 1984, pp. 487-498.	
		Galvin, J., et al., "Security Protocols for version 2 of the Simple Network Management Protocol (SNMPv2)," Network Working Group RFC 1446, Apr. 1993.	
		Galvin, J., et al., "SNMP Security Protocols," Network Working Group, July 1992, pp. 1-26.	
		Gamble, Todd, "Implementing Execution Controls in Unix," Usenix Association, Proceedings of the Seventh Systems Administration Conference, November 1-5, 1993, Monterey, California, pp. 237-242.	
		Garfinkel, Simson, et al., Practical UNIX Security, O' Reilly & Associates, Inc., 1991.	
		Garfinkel, Simson, PGP: Pretty Good Privacy, O' Reilly & Associates, Inc., (undated).	
		Gasser, M., et al., "The Digital Distributed System Security Architecture," Reprint from the Proceedings of 1989 National Computer Security Conference, 1989, pp. 1-13.	
		Gaster, J. L., "Authors' Rights and Neighboring Rights in the Information Society," DG XV/E/4, European Commission.	
		Gemplus, MCOS: Multi Application Chip Operating System - Introduction, Gemplus Card International, 1990.	
		General Magic Picks RSA, RSA Security News, viewed at < http://rsasecurity.com/news/pr/940112-3.html >, dated January 12, 1994, pp. 1-2.	
		Gifford, D.K., "Cryptographic Sealing for Information Secrecy and Authentication," Communications of the ACM, vol. 25, no. 4, April 1982, pp. 274-286.	
		Gifford, D.K., et al., "The Cirrus Banking Network," Communications of the ACM, vol. 28, no. 4, August 1985, pp. 798-807.	
		Gilde, R., "DAT-Heads: Frequently Asked Questions," 1991, Release 3.1, Sep. 2, 1992.	
		Gircys, G.R., Understanding and Using COFF, O'Reilly & Associates, Inc., Nov. 1988.	
		Glatzer, H., "The Promise of LANs MIS Back in Control," Software News, March 1985, pp. 51-58.	
		Gligor, V.D., et al., "Object Migration and Authentication," IEEE Transactions on Software Engineering, vol. SE-5, no. 6, November 1979, pp. 607-611.	
		Gong, Li, "A Secure Identity-Based Capability System," University of Cambridge Computer Laboratory, January 1989, pp. 1-15.	
		Gong, Li, et al., "Signing, Sealing and Guarding Java Objects," Mobile Agents and Security, G. Vigna, editor, Springer-Verlag, 1998, Vol. 1419 of LNCS, pp. 206-216.	
		Gosler, James, "Software Protection: Myth or Reality", Lecture Notes in Computer Science, Advances in Cryptology - Crypto '85 Proceedings, 1985.	
		Gosling, J., "Oak Intermediate Bytecodes," 1995, 5 pages.	
		Gozani et al., "GAFFES: The Design of a Globally Distributed File System," Report No. UCB/CSD 87/361; Computer Science Division (EECS), U.C. Berkley, Jun. 1997.	
		Greenwald et al., "The Distributed Compartment Model for resource management and Access Control," Technical report Number TR94-035, The University of Florida, Oct.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
Sheet	10	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		1994.	
		Griswold, Gary N., "A Method for Protecting Copyright on Networks", IMA Intellectual Property Proceedings, Vol. 1, Issue 1, January 1994.	
		Gruber, R., et al., "Disconnected Operation in the Thor Object-Oriented Database System," Laboratory of Computer Science, Massachusetts Institute of Technology, (undated), pp. 1-6.	
		Guide to the Secure Configuration and Administration of Microsoft Exchange 5.x®, National Security Agency, June 20, 2002, pp. 1-58.	
		Haar, S.V., Document from the Internet: "PowerAgent Launches Commercial Service," Interactive Week, Aug. 4, 1997, 1 page.	
		Halfhill, Tom R., et al., "Agents on the Loose," Byte.com, February 1994, pp. 1-2.	
		Halfhill, Tom R., et al., "Just Like Magic?," Byte.com, February 12, 1994, pp. 1-5.	
		Haller, N., "The S/KEY One-Time Password System," Network Working Group RFC 1760, Feb. 1995.	
		Handwritten note re: GVS and AJL, Mar. 2, 1994.	
		Hansen, S.E., et al., "Automated System Monitoring and Notification with Swatch," Proceedings of the 1993 LISA, Monterey, California, November 1-5, 1993, pp. 101-108.	
		Hardjono, Thomas, "Record Encryption in Distributed Databases," Department of Computer Science, University of New South Wales, January 1990, pp. 386-395.	
		Hardy, N., "The Keykos Architecture," Eighth Edition, December 1990, pp. 1-8.	
		Harn, Lein, et al., "A Software Authentication System for the Prevention of Computer Viruses," ACM, 1992, pp. 447-450	
		Harris, J., et al., "Bento Specification," Apple Computer, Inc., July 15, 1993, 106 pages.	
		Harty, K., et al., "Case Study: The VISA Transaction Processing System," May 30, 1988, pp. 1-23.	
		Hauser, Ralf C., et al., "LTTP Protection – A Pragmatic Approach to Licensing", Institut fur Informatik, Universitat Zurich, Jan. 13, 1994.	
		Hauser, Ralf, "Control Information Distribution and Access," Dissertation Der Wirtschaftswissenschaftlichen Fakultat Der Universitat Zurich, May 31, 1995.	
		Hauser, Ralf, C., "Does Licensing Require New Access Control Techniques?," Institut fur Informatik, Universitat Zurich, August 12, 1993, 9 pages.	
		Hawk, H.S., "RSA & General Magic," email to Good Guys, January 6, 1994, 1 page.	
		Herzberg, Amir, et al., "On Software Protection", Proceedings of the 4th Jerusalem Conference on Information Technology (JCIT), IEE Computer Society Press, April 1984.	
		Hewlett-Packard Chooses RSA, RSA Security News, viewed at < http://rsasecurity.com/news/pr/940112-5.html >, dated January 12, 1994, pp. 1-2.	
		Hickman, Kipp, E.B., SSL 2.0 Protocol Specification.	
		Hilgraeve Ships Secure Version of HyperACCESS/5, RSA Security News, viewed at < http://rsasecurity.com/news/pr/940112-8.html >, dated January 12, 1994, pp. 1-2.	
		Hill, William et al., "Edit Wear and Read Wear," Computer Graphics and Interactive Media Research Group, ACM; May 3-7, 1992.	
		Hill, William et al., "History-Enriched Digital Objects," Computer Graphics and	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
			Attorney Docket Number	07451.0010-01	
Sheet	11	of	25		

NON PATENT LITERATURE DOCUMENTS			
		Interactive Media Research Group; Bell Communications Research, 1993.	
		History of Computer Security: Early Computer Security Papers, Part 1, National Institute of Standards and Technology, September 4, 2002, viewed at < http://csrc.nist.gov/publications/history/index.html > pp. 1-27	
		Hoffman, L.J., Modern Methods for Computer Security and Privacy, Prentice-Hall, Inc., 1977.	
		Hohl, F., "Time Limited Blackbox Security: Protecting Mobile Agents from Malicious Hosts," Lecture Notes in Computer Science, Vol. 1419: Mobile Agents and Security, Springer-Verlag, 1998, G. Vigna Ed., pp. 90-111.	
		Holsinger, E., How Music and Computers Work, Ziff-Davis Press, 1994.	
		Holzner, S., Heavy Metal OLE 2.0 Programming, IDG Books Worldwide, Inc., 1994.	
		Honeyman, P., "Digest of the First UNSENIX Workshop on Electronic Commerce (EC 95)," July 1995.	
		Horster, P., Communications and Multimedia Security II, Chapman & Hall, 1996.	
		Hsiao, D., et al., Computer Security, Academic Press, Inc., 1979.	
		Hutt, A.E., et al., Computer Security Handbook Second Edition, Macmillan Publishing Company, 1988, pp. 201-217.	
		IBM Cryptolope Technology-Executive Summary, IBM, viewed on March 13, 2002 at < http://www-3.ibm.com/software/security/cryptolope.about.html > pp. 1-3.	
		Imprimatur News, imprimatur, Dec. 1998.	
		Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions," American National Standard, Accredited Standards Committee X9-Financial Services Committee, ANSI X9.2-1988, American Bankers Association, May 16, 11	
		International Infrastructure Standards Panel, "IISP Need #31-Containers or Secure Packaging," Electronic Publishing Research, September 18, 1995, pp. 1-3.	
		International Infrastructure Standards Panel, "IISP Need #32-Authentication of Content," Electronic Publishing Research, September 18, 1995, pp. 1-3.	
		International Infrastructure Standards Panel, "IISP Need #33-Control Enforcement," Electronic Publishing Research, September 18, 1995, pp. 1-3.	
		International Infrastructure Standards Panel, "IISP Need #34-Billing and Payment," Electronic Publishing Research, September 18, 1995, pp. 1-3.	
		International Infrastructure Standards Panel, "IISP Need #35-Reporting," Electronic Publishing Research, September 18, 1995, pp. 1-3.	
		International Standard ISO8583, "Bank Card Originated Messages - Interchange Message Specifications - Content for Financial Transactions," International Organization for Standardization, August 15, 1987, pp. 1-33.	
		Internet Billing Server, Carnegie Mellon University, Prototype Scope Document, INI Tech Report, October 14, 1993, pp. 1-29.	
		Introducing . . . The Workflow CD-ROM Sampler, Creative Networks, MCI Mail: Creative Networks, Inc., (undated), 2 pages.	
		Introduction to Smart Cards v. 1.0", Gemplus Card International, March 21, 1991.	
		iOpener, Registered Trademark of National Semiconductor Corporation, Registration date October 4, 1994, 1 page.	
		iOpener, U.S. Patent and Trademark Prosecution History for National Semiconductor	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
Sheet	12	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Corporation, Registration date, October 4, 1994, 27 pages, TULIP Final Report.	
		iPower's Data Security Approach, RSA Security News, viewed at < http://rsasecurity.com/news/pr/940112-10.html >, dated January 12, 1994.	
		"iPower Technology," National Semiconductor, (undated), 11 pages.	
		Jaeger, T, et al., "Support for the File System Security Requirements of Computational E-Mail Systems," November 1994, ACM 0-89791-732-4/94/0011, 9 pages.	
		Johnson, H.L., et al., "A Secure Distributed Capability Based System," ACM, 1985, pp. 392-402.	
		Johnson, R., "Info on Telescript," 1994 Software Agents List Archive, December 6, 1994, pp. 1-4.	
		Jones et al., "Credentials for Privacy and Interoperation," University of Illinois at Urbana-Champaign.	
		JUKEBOX - Music Across Borders," LIB-JUKEBOX/4-1049.	
		Kahn, D., The Codebreakers: The Story of Secret Writing, The Macmillan Company, 1967.	
		Kahn, R., et al., "A Framework for Distributed Digital Object Services, Corporation for National Research Initiatives, May 13, 1995.	
		Kaliski, Jr., et al. "A Layman's Guide to a Subset of ASN.1, BER, and DER", RSA Laboratories Technical Note, 1991, Revised November 1, 1993.	
		Kamens, J.I., "Retrofitting Network Security to Third-Party Applications-The SecureBase Experience," Symposium Proceedings, Unix Security IV, October 4-6, 1993, Santa Clara, California, pp. 41-57.	
		Kaner, Cem et al., Testing Computer Software, Second Edition, Van Nostrand Reinhold, 1988.	
		Kaplan, M., "IBM Cryptolopes, Super Distribution and Digital Rights Management," viewed at < http://www.research.ibm.com/people/k/kaplan/cryptolope-docs/crypap.html >on December 30, 1996, pp. 1-10.	
		Karger, P.A., et al., "A VMM Security Kernel for the VAX Architecture," CH2884-5/90/0000/0002, IEEE 1990, pp. 2-19.	
		Karger, P.A., et al., "Multics Security Evaluation: Vulnerability Analysis," HQ Electronic Systems Division, Hanscom AFB, Technical Report 19, June 1974, 14 pages.	
		Kastenholz, F., "The Definitions of Managed Objects for the Security Protocols of the Point-to-Point Protocol," Network Working Group RFC 1472, Jun. 1993.	
		Katzan, Harry, Jr., Computer Data Security, Litton Educational Publishing Company, 1973.	
		Keefe, T.F., et al., "Prototyping the SODA Security Model," Department of Computer Science, University of Minnesota, 1990, pp. 211-235.	
		Kelman, Alistair, "Electronic Copyright Management: Possibilities and Problems", Scientists for Labor Presentation, Nov. 14, 1996.	
		Kelter, U., "Discretionary Access Controls in a High-Performance Object Management System," 1991 IEEE Computer Society Symposium on Research in Security and Privacy, May 20-22, 1991, Oakland, California, pp. 288-299.	
		Kelter, U., et al., "Type Level Access Controls for Distributed Structurally Object-Oriented Database Systems," Computer Security, ESCORICS 92, Second European Symposium on Research in Computer Security, Toulouse, France, November 23-25, 1992, pp. 21-40.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete if Known	
				<i>Application Number</i>	09/948,369
				<i>Filing Date</i>	February 4, 2000
				<i>First Named Inventor</i>	Victor H. SHEAR et al.
				<i>Art Unit</i>	3629
				<i>Examiner Name</i>	Thomas A. DIXON
Sheet	13	of	25	<i>Attorney Docket Number</i>	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Kent, S., et al., "Privacy Enhancement for Internet Electronic Mail: Part II--Certificate-Based Key Management," Network Working Group, August 1989, pp. 1-22.	
		Kent, S.T., "U.S. Department of Defense Security Options for the Internet Protocol," Network Working Group RFC 1108, Nov. 1991.	
		Ketchpel, Steve P., et al. "Shopping Models: A Flexible Architecture for Information Commerce", Stanford University.	
		Key Cryptolope Components, IBM, viewed on March 13, 2002 at < http://www-3.ibm.com/software/security/cryptolope.about.html > pp. 1-2.	
		Key Management (retail) - Part I: Introduction to Key Management; Part II: Key Management Techniques for Symmetric Ciphers, ISO 11568-1 and -2, Dec. 1, 1994.	
		Key Management Using ANSI X9.17, Federal Information Processing Standards Publication 171, U.S. Department of Commerce, Apr. 1992.	
		KeyKOS Principles of Operation, Key Logic document KL002-04, 1985, Fourth Edition, Jan. 1987.	
		Kim, G.H., et al. "Experiences with Tripwire: Using Integrity Checkers for Intrusion Detection," Purdue Technical Report CSD-TR-94-012, Feb. 21, 1994.	
		Kim, G.H., et al., "The Design and Implementation of Tripwire: A File System Integrity Checker," November 19, 1993.	
		Kim, L., et al., "Novell Cuisine," Proceedings of the ACM SIGUCCS User Services Conference XIX, November 3-6, 1991, Seattle, Washington, pp. 183-184.	
		Kim, W., et al., "Features of the ORION Object-Oriented Database System," 1989, pp. 251-282.	
		Kim, W., et al., "Object-Oriented Concepts, Databases, and Applications," ACM Press, 1989.	
		Klemond, P., "Investigating Object Linking and Embedding, Part II: Adding Server Support," Microsoft Systems Journal, May/June 1992, pp. 87-94.	
		Klemond, P., "Taking the Bull by the Horns: Investigating Object Linking and Embedding, Part I," Microsoft Systems Journal, March/April 1992, pp. 19-38.	
		Kluepfel, H.M., "Securing a Global Village and its Resources: Baseline Security for Interconnected Signaling System #7 Telecommunications Networks," 1993, pp. 195-212.	
		Koenig, A., "Automatic Software Distribution," Usenix Association Software Tools Users Group, Summer Conference, Salt Lake City, June 12-15, 1984, pp. 312-322.	
		Kohl, J.T., et al., "The Evolution of the Kerberos Authentication Service," Digital Equipment Corporation, 1991, pp. 1-15.	
		Konheim, Alan, G., et al., "Cryptography: A Primer," John Wiley & Sons, Inc., 1981.	
		Krajewski, Jr., M., "Applicability of Smart Cards to Network User Authentication," Computing Systems, vol. 7, no. 1, Winter 1994, pp. 75-89.	
		Krajewski, Jr., M., "Smart Card Augmentation of Kerberos," The Mitre Corporation, (undated), 6 pages.	
		Krajewski, Jr., M., et al., "Concept for a Smart Card Kerberos," The Mitre Corporation, (undated), 7 pages.	
		Kramer, M., "Strength in Numbers," PC Week, July 22, 1986, pp. 57-58.	
		Kreutzer, A.N., "An On-Line System for Controlling and Monitoring Software Usage in a Microcomputer Laboratory," SIGUCCS Newsletter, vol. 18, no. 2, 1988, pp. 29-32.	
		Krol, E., The Whole Internet User's Guide and Catalog, 2nd. Ed., O' Reilly & Associates, Inc., 1992.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 14 of 25

NON PATENT LITERATURE DOCUMENTS

	Kurak, C., et al., "A Cautionary Note On Image Downgrading," Proceedings of the 1992 Computer Security Applications Conference, San Antonio, TX, December 1992, 7 pages.	
	Lacy, Jack, et al., "Music on the Internet and the Intellectual Property Protection Problem".	
	Lagoze et al., "A Design for Inter-Operable Secure Object Stores (ISOS)," Cornell University, NCSA, CNRI, Nov. 1995.	
	Lagoze, Carl, "A Secure Repository Design for Digital Libraries", D-Lib Magazine, Dec. 1995.	
	LaLonde Wilf, R., et al., Inside Smalltalk: Volume 1, Prentice-Hall, Inc., 1990.	
	Lampson, B.W., "A Note on the Confinement Problem," Communications of the ACM, October, 1973, pp. 1-5.	
	Lampson, B.W., "Computer Security," Digital Equipment Corporation, 1991, pp. 1-54.	
	Landwehr, C.E., et al., "A Taxonomy of Computer Program Security Flaws," ACM Computer Surveys, Vol. 26, No. 3, September 1994, pp. 211-254.	
	Landwehr, C.E., "Formal Models for Computer Security," Computer Surveys, Vol. 13, No. 3, September 1981, pp. 247-278.	
	Langelaar, G.C. "Overview of Protection Methods in Existing TV and Storage Devices," SMS-TUD-609-1, Final Ver. 1,2, Feb. 26, 1996.	
	Leary, P., "Are There Ciphers in Shakespeare?," 1995, pp. 1-18.	
	Lehman, B., "Intellectual Property and the National Information Infrastructure, A Preliminary Draft of the Report of the Working Group on Intellectual Property Rights," July 1994, 4 introductory pages and pp. 1-141.	
	Leiss, E., "On Authorization Systems with Grantor-Controlled Propagation on Privileges," Compcon 83, February 28-March 3, 1983, San Francisco, California, pp. 499-502.	
	Lesk, M., "Digital Libraries Meet Electronic Commerce: On-Screen Intellectual Property," Dec. 15, 1998.	
	Levine, P.H., et al., "Network License Server," Apollo, October 1987, pp. 1-19.	
	Lewontin, S., et al., "The DCE Web Project: Providing Authorization and Other Distributed Services to the World Wide Web," February 22, 2002.	
	Lin, P., "The Encapsulated Security Services Interface (ESSI)," Computer Security (A-37), 1993, pp. 119-135.	
	Linn, J., "Privacy Enhancement for Internet Electronic Mail: Part I--Message Encipherment and Authentication Procedures," Network Working Group, August 1989, pp. 1-30.	
	Lipson, S., "Little Black Box 'Blocks' Illicit Software Copying," Stamford Advocate, September 14, 1986, pp. E1-E2.	
	List of Articles, <www.chaum.com/articles/list-of-articles.htm>, as on August 23, 2002, 4 pages.	
	Lockhart, Jr., H.W., OSF DCE Guide to Developing Distributed Applications, McGraw-Hill, Inc., 1994.	
	Lord et al., "Access Management in Multi-Administration Networks," IEE 2nd International Conference on Secure Communication Systems, 1986.	
	Lunt, Teresa, "Multilevel Security for Object-Oriented Database Systems," SRI International Computer Science Laboratory, 1990, pp. 199-209.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 15 of 25

NON PATENT LITERATURE DOCUMENTS

	Mach Books, viewed on February 6, 2002 at http://www2.cs.cmu.edu/afs/cs/project/mach/public/www/doc/books.html , pp. 1-3.	
	Manager's Guide to MPE/iX Security, Hewlett-Packard Company, April 1994.	
	Mann, C.C., "Homeland Insecurity," September 2002.	
	Mathy, Laurent, "Features of the ACCOPI Multimedia Transport Service", Lecture Notes in Computer Science, NO. 1045, Proc. of European Workshop IDMS' 96, March 1996.	
	Maude, T., et al., "Hardware Protection Against Software Piracy," Communications of the ACM, vol. 27, no. 9, September 1984, pp. 951-959.	
	McCloghrie, K., et al., "Definitions of Managed Objects for Administration of SNMP Parties," Network Working Group, July 1992, pp. 1-17.	
	McCloghrie, K., et al., "Management Information Base for Network Management of TCP/IP-based Internets," Network Working Group, RFC 1156 (May 1990).	
	McCollum, C.J., et al., "Beyond the Pale of MAC and DAC-Defining New Forms of Access Control," Unisys Defense Systems, 1990, pp. 190-200.	
	McGraw, G., et al., Java Security, John Wiley & Sons, Inc., 1997.	
	Medvinsky, G., et al., "NetCash: A Design for Practical Electronic Currency on the Internet," 1st Conference on Computer and Communication Security, November, 1993, pp. 102-106.	
	Merkle, Ralph C., "Protocols for Public Key Cryptosystems", IEEE, 1980.	
	Merkle, Ralph C., "Secure Communications Over Insecure Channels," Communications of the ACM, vol. 21, no. 4, April 1978, pp. 294-296.	
	Meyer, C.H., et al., Cryptography: A New Dimension in Computer Data Security, John Wiley & Sons, Inc., 1982.	
	Microsoft Authenticode Technology, Microsoft Corporation, Oct. 1996.	
	Millen, J.K., et al., "Security for Object-Oriented Database Systems," Proceedings of the 1992 IEREE Computer Society Symposium on Research in Security and Privacy, May 4-6, 1992, Oakland, California, pp. 260-272.	
	Miller, S.P., et al., "Kerberos Authentication and Authorization System," Massachusetts Institute of Technology, October 27, 1998, pp.1-36.	
	Minear, S.E., "Providing Policy Control Over Object Operations in a Mach Based System," Secure Computing Corporation, April 28, 1995, 15 pages.	
	Miscellaneous letter from Georges Van Slype at Bureau Van Dijk, Feb. 28, 1994.	
	Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Apr. 19, 1994, Apr. 18, 1994, Apr. 11, 1994, Apr. 6, 1994..	
	Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Feb. 13, 1995 and Nov. 2, 1994.	
	Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Feb. 9, 1994, Jan. 27, 1994, Jan. 19, 1994, Jan. 12, 1994, Dec. 22, 1993, Nov. 30, 1993, Nov. 22, 1993, Dec. 6, 1993, Nov. 16, 1993, Oct. 15, 1993, Oct. 7, 1993, Oct. 4, 1993, Sep. 20, 1993.,	
	Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Mar. 30, 1994, Mar. 24, 1994, Feb. 10, 1994.	
	Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Mar. 30, 1995.	
	Miscellaneous Letters from Georges Van Slype at Bureau Van Dijk, Sep. 12, 1994,	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
			Attorney Docket Number	07451.0010-01	
Sheet	16	of	25		

NON PATENT LITERATURE DOCUMENTS			
		May 11, 1994, May 10, 1994, May 6, 1994, May 4, 1994, Apr. 21, 1994, Apr. 20, 1994.	
		Moens, Jan, "Case of Application of the Generic CITED Model to the CITEDisation of a Directory Database on CD-ROM, Ver. 2.0," ESPIRIT II, Project 5469, The CITED Consortium, Nov. 30, 1992.	
		Moens, Jan, "Report on the Users Requirements, Ver. 1.0," ESPIRIT II, Project 5469, The CITED Consortium, Nov. 27, 1991.	
		Moffett, Jonathan D., "Delegation of Authority Using Domain-Based Access Rules," thesis Imperial College of Science, Technology & Medicine, University of London, Jul. 1990.	
		Moffett, Jonathan D., "Specification of Management Policies and Discretionary Access Control," Department of Computer Science, University of York, June 28, 1994, pp. 1-28.	
		Moffett, Jonathan D., et al., "An Introduction to Security Distributed Systems," Department of Computer Science, University of York, England, August 1993, pp. 1-14.	
		Moffett, Jonathan D., et al., "Policy Hierarchies for Distributed Systems Management," IEEE JSAC Special Issue on Network Management, vol. 11, no. 9, December 1993, pp. 1-4.	
		Moffett, Jonathan D., et al., "Specifying Discretionary Access Control Policy for Distributed Systems," Computer Communications, vol. 13, no. 9, November, 1990, pp. 1-17.	
		Moffett, Jonathan D., et al., "The Representation of Policies as System Objects," Proceedings of the Conference on Organizational Computer Systems (COCS '91), Atlanta, Georgia, November 5-8, 1991, 16 pages.	
		Montini, G, et al., "Access Control Models and Office Structures," Computer Security: A Global Challenge, 1984, pp. 473-485.	
		Motorola MC68030 Enhanced 32-bit Microprocessor User's Manual, 2nd Ed., Prentice-Hall, 1989.	
		MSDN-INF: LAN Manager 2.1 Server Autotuning (Part2), PSS ID No. 080078, Microsoft, Feb. 1993.	
		MSDN-Licence Service Application Programming Interface, API Specification v1.02, Micorsoft, Jan. 1993.	
		Muftic, Sead, Security Mechanisms for Computer Networks, Ellis Horwood Limited, 1989.	
		Mullender, S., Distributed Systems, ACM Press, 1989.	
		Multics, Home; viewed on November 12, 2001 at < http://www.multicians.org > pp. 1-3.	
		Multimedia System Services Ver. 1.0, Hewlett-Packard, IBM, & SunSoft, 1993.	
		Needham, R.M., "Aiding Capability Access to Conventional File Servers," Xerox Palo Alto Research Center, (undated), pp. 3-4.	
		Neuman B.C., et al. "Kerberos: An Authentication Service for Computer Networks," IEEE Communications magazine, Sep. 1994.	
		Neuman, B.C., "Proxy-Based Authorization and Accounting for Distributed Systems," Information Sciences Institute, University of Southern California, 1993, pp. 283-291.	
		Nguyen, Thanh et al., "Guidelines for Validation of a CITED System," CITED 5469, SA-21-40-003, Jul. 4, 1994.	
		NSA Korean War 1950-1953 Commemoration, History Papers, National Security Agency; http://www.nsa.gov/korea/papers.htm , pp. 1-2.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Complete if Known	
			Application Number	09/948,369
			Filing Date	February 4, 2000
			First Named Inventor	Victor H. SHEAR et al.
			Art Unit	3629
Examiner Name	Thomas A. DIXON			
Attorney Docket Number	07451.0010-01			
Sheet	17	of	25	

NON PATENT LITERATURE DOCUMENTS			
		O'Connor, MaryAnn, "New Distribution Option for Electronic Publishers," Information Access Co., March 1994, pp. 1-6.	
		OLE 2.0 Draft Content: Object Linking & embedding", Microsoft, June 5, 1991.	
		Olivier, M.S., "A Multilevel Secure Federated Database," Database Security, VIII (A-60), 1994, pp. 183-198.	
		Olson, M.S., et al., "Concurrent Access Licensing," vol. 6, no. 9, Unix Review, 1988, pp. 67-74.	
		OMG Security Working Group, "OMG White Paper on Security," OMG Security Working Group, April 1994, pp. 1-24.	
		OOPSLA 1993: Addendum to the Proceedings, "Security for Object-Oriented Systems," September 26-October 1, 1993, pp. 77-78.	
		Open Systems Interconnection: Security Architecture, ISO 7498/1, 1988.	
		Open Systems Interconnection: Security Architecture, ISO 7498/2, 1988.	
		OpenDoc vs. OLE 2.0: Superior by Design, IBM, January 1994, pp. 1-4.	
		Orfali, R., et al., The Essential Distributed Objects Survival Guide, John Wiley & Sons, Inc., 1996.	
		Organick, E.I., The Multics System: An Examination of Its Structure, MIT Press, 1972.	
		OSF DCE Administration Guide-Core Components, Open Software Foundation, PTR Prentice Hall, 1993.	
		Paepcke, Andreas, "Summary of Stanford's Digital Library Testbed and Status," Stanford University, D-Lib Magazine, Jul. 1996.	
		Paradinas, Pierre et al., "New Directions for Integrated Circuit Cards Operating Systems."	
		Park, J.S., AS/400 Security in a Client/Server Environment, John Wiley & Sons, Inc., 1995.	
		Payment Systems; Strategic Choices for the Future, Hitachi Research Institute; Institute of Advanced Business Systems, Hitachi, Ltd., 1993.	
		Perlman, Bill, "A Working Anti-Taping System for Cable Pay-Per-View," IEEE Trans. On Consumer Electronics, Vol. 35, No. 3, Aug. 1989.	
		Personal Identification Number (PIN) management and security - Part I: Basic Principles and Requirements for online PIN Handling in ATM and POS Systems; & -2 Approved Algorithm(s) for PIN Encipherment, ISO 9564-1 & -2, (Apr. 15, 2002 & Dec. 15, 1991	
		Pethia et al., "Guidelines for the Secure Operation of the Internet," Network Working Group, RFC 1281, Nov. 1991.	
		Picciotto, J., et al., "Extended Labeling Policies for Enhanced Application Support," Computers & Security, vol. 13, no. 7, 1994, pp. 587-599.	
		Pietreck, M., Windows Internals: The Implementation of the Windows Operation Environment, Addison-Wesley, 1993.	
		Pijenborg, Mari F.J., "Auteursrecht En De Digitale Bibliotheek," 195 Open, Jan. 1995.	
		Pijnenborg, Mari F.J., "CITED Final Report," Elsevier Science B.V., Apr. 1994.	
		PKCS #1:RSA Encryption Standard," RSA Laboratories Technical Note, Ver. 1.5, revised Nov. 1, 1993.	
		PKCS #10: Certification Request Syntax Standard," An RSA Laboratories Technical Note, Ver. 1.0, Nov. 1, 1993.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 18 of 25

NON PATENT LITERATURE DOCUMENTS

	PKCS #11: Cryptographic Token Interface Standard", An RSA Laboratories Technical Note, Ver. 2.0, Apr. 15, 1997.	
	PKCS #12 v 1.0: Personal Information Exchange Syntax", RSA Laboratories, Jun. 24, 1999.	
	PKCS #13: Elliptic Curve Cryptography Standard", RSA Security, Jan. 12, 1998.	
	PKCS #15 v 1.0: Cryptographic Token Information Format Standard", RSA Laboratories, Apr. 23, 1999.	
	PKCS #3: Duffie-Hellman Key-Agreement Standard," RSA Laboratories Technical Note, Ver. 1.4; revised Nov. 1, 1993.	
	PKCS #5: Password-Based Encryption Standard," An RSA Laboratories Technical Note, Ver. 1.5, 1991-1993, Revised Nov. 1, 1993.	
	PKCS #6: Extended-Certificate Syntax Standard," RSA Laboratories Technical Note, Ver. 1.5, revised Nov. 1, 1993.	
	PKCS #8: Private-Key Information Syntax Standard," An RSA Laboratories Technical Note, Ver. 1.2, 1991-1993, Revised Nov. 1, 1993.	
	PKCS #9: Selected Attribute Types," RSA Laboratories Technical Note, Ver. 1.1, revised Nov. 1, 1993.	
	Polk, T.W., "Approximating Clark-Wilson "Access Triples" with Basic UNIX Controls," Symposium Proceedings, Unix Security IV, October 4-6, 1993, Santa Clara, California, pp. 145-154.	
	Popek, Gerald, J., et al., "Encryption and Secure Computer Networks," Computing Surveys, vol. 11, no. 4, December 1979, pp. 331-356.	
	Press, Jim, "Secure Transfer of Identity and Privilege Attributes in an Open Systems Environment," Computers & Security, vol. 10, no. 2, 1991, pp. 117-127.	
	Press, Jim, et al, "A New Approach to Cryptographic Facility Design", ICL Mid-Range Systems Division Reading, Berks, UK.	
	Privacy and the NII: Safeguarding Telecommunications - Related Personal Information, U.S. Dept. of Commerce, Oct. 1995.	
	"Proceedings: Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment," Coalition for Networked Information, Interactive Multimedia Association, John F. Kennedy School of Government, 285 pp., 1994	
	Purdy, G.B., et al., "A Software Protection Scheme," Proceedings of the 1982 Symposium on Security and Privacy, April 26-28, 1982, Oakland California, pp. 99-103.	
	Rashid, R.F., CMU Computer Science: A 25th Anniversary Commemorative, Addison-Wesley Publishing Company, 1991.	
	Real, Patti, "Copy Protection: The answer to pay per view's Prayers?," TVRO Dealer, Dec. 1994.	
	Reiher, et al., "Truffles - A Secure Service for Widespread File Sharing," UCLA, Trusted Information Systems.	
	Reiher, et al., "Truffles - Secure File Sharing With minimal system Administrator Intervention," UCLA, Trusted Information Systems.	
	Request for Technology: Multimedia System Services, Ver. 2.0, Interactive Multimedia Association Compatibility Project, Nov. 9, 1992.	
	Request for Technology: Multimedia System Services, Draft, Ver. 1.1, Interactive Multimedia Association Compatibility Project, October 16, 1992.	
	Requirements for the Software License Management System, System Management	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

19

of

25

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS

	Work Group, Rev. 3, Unix International, July 23, 1992.	
	Rescorla, E., et al., "The Secure HyperText Transfer Protocol," Enterprise Integration Technologies, June 1994, pp. 1-23.	
	Richardson, D.W., Electronic Money: Evolution of an Electronic Funds-Transfer System, The MIT Press, 1970.	
	Rindfrey J., "Security in the World Wide Web," Fraunhofer Institute for Computer Graphics, Dec. 1996.	
	Rindfrey, Jochen, "Towards an Equitable System for Access Control and Copyright Protection in Broadcast Image Services; The Equicrypt Approach," Fraunhofer Institute for Computer Graphics.	
	Rivest, Ronald L., "The MD5 Message-Digest Algorithm," Network Working Group, April 1992, pp. 1-21.	
	Rivest, Ronald L., et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," Communications of the ACM, vol. 21, no. 2, February, 1978, pp. 120-126b.	
	Rivest, Ronald L., et al., "SDSI - A Simple Distributed Security Infrastructure", MIT and Microsoft Corporation, April 30, 1996.	
	Roberts, R., et al., Compute!'s Computer Security, Compute! Publications, Inc., 1989.	
	Robinson et al., "Encoding Header Field for Internet Messages," Network Working Group RPC 1154, Apr. 1990.	
	Rose et al., "Structure and Identification of management Information for TCP/IP-based Internets," Network Working Group RFC 1155, May 1990.	
	Rosenberry, W., et al., "Distributing Applications Across DCE and Windows NT," 1993.	
	Rosenberry, W., et al., Understanding DCE, O'Reilly & Associates, Inc., 1992.	
	Rosenthal, Doug, "EINet: A secure, Open Network for Electronic Commerce", IEEE, 1994.	
	Rosenthal, S., "Mega Channels," New Media, Sept. 1993, pp. 36-46.	
	Ross, P.E., "Cops versus robbers in cyberspace," Forbes, Sep. 9, 1996.	
	Rouaix, F., "A Web Navigator with Applets in Caml," INRIA.	
	Rozenblit, Moshe, "Secure Software Distribution", IEEE 0-7803-1811-0/94, 1994.	
	RSA Enters Wireless Arena, RSA Security News, viewed at < http://rsasecurity.com/news/pr/940112-6.html >, dated January 12, 1994, pp. 1-2.	
	RSA Security; News; < http://rsasecurity.com/news/pr/9401.html >, dated January 12, 1994, pp. 1-2.	
	RSA's Developer's Suite for Secure Electronic transactions (SET), S/PAY, RSA Data Security, Inc., 1997.	
	Rubin et al., "Formal Methods for the Analysis of Authentication Protocols CITI Technical Report 93-7," Center for Information Technology Integration, Nov. 8, 1993.	
	Rubin et al., "Long Running Jobs in an Authenticated Environment," CITI Technical Report 93-1, Center for Information Technology Integration, March 1993.	
	Rubin, A.D., "Trusted Distribution of Software Over the Internet," Bellcore, 1995, pp. 1-9.	
	Rucker, et al., "Personalized Navigation for the Web," Communications of the ACM, pp. 73-75, Mar. 1997.	
	Rushby, J.M., "Design and Verification of Secure Systems," ACM, 1981, pp. 12-21.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

20

of

25

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS

	Russell, D., et al., Computer Security Basics, O' Reilly & Associates, Inc., 1991.	
	Russell, S., "Paradigms for Verification of Authorization at Source of Electronic Documents in an Integrated Environment," Computers & Security, vol. 12, no. 6, 1993, pp. 542-549.	
	Russell, S., "Planning for the EDI of Tomorrow Using Electronic Document Authorization," Computer Security (A-37), 1993, pp. 243-251.	
	Rutkowski, K., "PowerAgent Introduces First Internet 'Informediary' to Empower and Protect Consumers," Tech Talk News Story, Aug. 4, 1997, 1 page.	
	Sammer et al., "New Tools for the Internet," Jeanneum Research, Graz University of Technology.	
	Sander, T. et al., "Protecting Mobile Agents Against Malicious Hosts," Mobile Agents and Security: Lecture Notes in Computer Science, Springer-Verlag, G. Vigna, Ed., Vol. 1419, Nov. 11, 1997, 16 pages.	
	Sander, T. et al., "Towards Mobile Cryptography," IEEE Proceedings of Security and Privacy, May 1998, 10 pages.	
	Sandhu, Ravi S., "The Typed Access Matrix Model," Proceedings of the IEEE Symposium on Security and Privacy, Oakland California, May 4-6, 1992, pp. 122-136.	
	Sandhu, Ravi S., et al., "A Secure Kernelized Architecture for Multilevel Object-Oriented Databases," Proceedings of the IEEE Computer Security Foundations Workshop IV, June 1991, Franconia, NH, pp. 139-152.	
	Sandhu, Ravi S., et al., "Data and Database Security and Controls," Handbook of Information Security Management, Auerbach Publishers, 1993, pp. 1-37.	
	Sandhu, Ravi, S., et al., "Implementation Considerations for the Typed Access Matrix Model in a Distributed Environment," Proceedings of the 15th NIST-SCSC National Computer Security Conference, Baltimore, Maryland, October 1992, pp. 221-235.	
	Saydjari, O.S., et al., "LOCK Trek: Navigating Uncharted Space," National Computer security Center, 1989, pp. 167-175.	
	Schaumüller-Bichl, S., "IC-Cards in High-Security Applications," Voest-Alpine AG, (undated), pp. 177-199.	
	Schill, A.B., et al., "DC++: Distributed Object-Oriented System Support on top of OSF DCE," 1993.	
	Schill, A.B., et al., "DCE-The OSF Distributed Computing Environment Client Server Model and Beyond," October 1993.	
	Schill, A.B., et al., "Mobility Aware Multimedia X. 400 e-mail: A Sample Application Based on a Support Platform for Distributed Mobile Computing," Dresden University of Technology, Faculty of Computer Science, (undated), pp. 1-7.	
	Schneier, B., "Description of New Variable-Length Key, 64-bit block cipher (Blowfish)," Fast Software Encryption, Cambridge Security Workshop Proceedings, 1994.	
	Schneier, Bruce, Applied Cryptography: Protocols, Algorithms, and Source Code in C, John Wiley & Sons, Inc., 1994.	
	Schulze, Dr. J., "Case of Application of the Generic CITED Model to the CITEDisation in the Software Distribution Process," ESPIRIT II, Project, Jan. 12, 1993.	
	Schutzer, D., "A Need for a Common Infrastructure: Digital Libraries and Electronic Commerce," Citibank, D-Lib Magazine, Apr. 1996.	
	Sebes, E.J., "Overview of the Architecture of Distributed Trusted Mach," (undated), pp. 1-10.	
	Sebes, E.J., et al., "The Architecture of Triad: A Distributed, Real-Time, Trusted	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

21

of

25

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS

	System," (undated), pp. 1-12.	
	Sebes, E.J., et al., "The Triad System: The Design of a Distributed, Real-Time, Trusted System," (undated), pp. 1-12.	
	Secure Cryptographic Devices (retail) - Part I: Concepts, Requirements and Evaluation Methods, ISO 13491-1, Jun. 15, 1998.	
	Security Enhanced LINUX, National Security Agency, http://www.nsa.gov/selinux/ , pp. 1-2.	
	Security in KeyKOS.	
	Security Requirements for Cryptographic Modules, U.S. Department of Commerce (NIST), January 11, 1994, pp. 1-53.	
	Shaffer, S.L., et al., Network Security, Academic Press, Inc., 1994.	
	Shirley, J., "Guide to Writing DCE Applications," 1st Ed. 1992.	
	Shirley, J., et al., "Guide to Writing DCE Applications," 2nd Ed. 1994.	
	Short, K.L., Microprocessors and Programmed Logic, Prentice-Hall, Inc., 1981.	
	Sibert, Olin, et al., "The Intel 80x86 Processor Architecture: Pitfalls for Secure Systems," (undated), 12 pages.	
	SIGSALY Secure Digital Voice Communications in World War II, National Security Agency, http://www.nsa.gov/wwii/papers/sigsaly.htm , October 13, 2000, pp. 1-2.	
	Simon et al., "Digital Images Protection Management in a Broadcast Framework: Overview/TALISMAN Solution," Thomson-CSF, RTBF, ART3000, UCL.	
	Sirbu et al., "NetBill: An Internet Commerce System Optimized for Network Delivered Services," Carnegie Mellon University.	
	Smart Card 1993 Conference Proceedings, "Day 1: Communications and Marketing Systems & Market Overview," Lowndes Exhibition Organisers, Ltd., 1993, pp. 1-79.	
	Smart Card Technology International: The Global Journal of Advanced Card Technology, Global Projects Group, undated, pp. 1-151.	
	Smith, Mary Grace, et al., "A New Set of Rules for Information Commerce: Rights-Protection Technologies and Personalized-Information Commerce Will Affect All Knowledge Workers", Communications Week, Nov. 6, 1995.	
	Solomon, A., PC Viruses: Detection, Analysis and Cure, Springer-Verlag, (undated).	
	Solomon, Daniel, J., "Processing Multilevel Secure Objects," Proceedings of the 1981 Symposium on Security and Privacy, April 27-29, 1981, Oakland, California, pp. 56-61.	
	Specification for Financial Message Exchange Between Card Acceptor and Acquirer, X9.15, American National Standard, American Banker's Association, 1990.	
	SSL 2.0 Protocol Specification, viewed at http://home.netscape.com/eng/security/SSL.2html , January 23, 2003.	
	St. Johns, M., "Draft Revised IP Security Option", Network Working Group, RFC, 1038, Jan. 1998.	
	Stallings, W., Cryptography and Network Security: Principles and Practice, Prentice-Hall, Inc., 1999.	
	STARFISH State of the Art Financial Services for the in Habitants of Isolated Areas - Project Profile, Information Society technologies, time schedule, Jan. 21, 2000 - Jun. 30, 2002.	
	Stepney et. al., "Formal specification of an Access Control System," Software-Practice and Experience, Vol. 17, No. 9, 1987.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	09/948,369	
			Filing Date	February 4, 2000	
			First Named Inventor	Victor H. SHEAR et al.	
			Art Unit	3629	
			Examiner Name	Thomas A. DIXON	
Sheet	22	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Strack, Hermann, "Extended Access Control in UNIX System V-ACLs and Context," Usenix Association, Proceedings of the Unix Security II Workshop, August 27-28, 1990, Portland, Oregon, pp. 87-101.	
		Stubblebine, S.G., "Security Services for Multimedia Conferencing," Proceedings of the 16th National Computer Security Conference, Baltimore, Maryland, September 20-23, 1993, pp. 1-5.	
		Swedlow, Tracy, "2000: Interactive Enhanced Television: A Historical and Critical Perspective," Interactive TV Today.	
		TALISMAN: Tracing Authors' Rights by Labeling Image Services and Monitoring Access Network, ACTS, Swiss Participation in European Research Programs, Sep. 1, 1995, Aug. 31, 1998.	
		Tanenbaum, A.S., et al., "Amoeba System," Communications of the ACM, Vol. 33, No. 12, Dec. 1990.	
		Tanenbaum, A.S., et al., "Distributed Operating Systems," Computing Surveys, vol. 17, no. 4, December 1985, pp. 419-470.	
		Tanenbaum, A.S., et al., "Experiences with the Amoeba Distributed Operating System," Vrije Universiteit and Centrum voor Wiskunde en Informatica, 1990.	
		Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System," 1990.	
		Tanenbaum, A.S., et al., "The Amoeba Distributed Operating System-A Status Report," 1991.	
		Tanenbaum, A.S., et al., "Using Sparse Capabilities in a Distributed Operating System," Vrije Universiteit and Centre for Mathematics and Computer Science..	
		Tanenbaum, A.S., Modern Operating Systems, Prentice-Hall, Inc. 1992.	
		Tanenbaum, A.S., Operating Systems: Design and Implementation, Prentice-Hall, Inc. 1987.	
		Tardo et al., "Mobile Agent Security and Telescript," General Magic, Inc.	
		Technical Description: Pay-Per-View Copy Protection, Macrovision, Jun. 1994.	
		Technical Rationale Behind CSC-STD-003-85: Computer Security Requirements, http://www.radium.ncsc.mil/tpep/library/rainbow/CSC-STD-004-85.html , June 25, 1985, pp. 1-40.	
		Technical Strategies for Protecting Intellectual Property in the Networked Multimedia Environment, IMA Intellectual Property Proceedings, Vol. I, Issue 1, January 1994.	
		TELENET TELEtraining Platform (on NETworks) - Project Profile, Information Society Technologies, time schedule, Mar. 6, 2000 - Mar. 30, 2000.	
		The Armide Products, web page.	
		The First USENIX Workshop on Electronic Commerce Proceedings, New York, New York, July 11-12, 1995, Usenix Association.	
		The Future of Cited: A Feasibility Study, ESPIRIT II, Project 5469, CITED Project Review, Apr. 15, 1994.	
		The PowerTV White Paper, powertv.com website, October 11, 1996.	
		The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 39, January 21, 1994, pp. 1-12	
		The Risks Digest, "Forum on Risks to the Public in Computers and Related Systems," Vol. 15; Issue 47, February 9, 1994, pp. 1-12.	
		The Standard Business: Time for Change, European Commission DG111 Espirit Project 5th Consensus Forum, Nov. 3-4, 1998.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	09/948,369
				Filing Date	February 4, 2000
				First Named Inventor	Victor H. SHEAR et al.
				Art Unit	3629
				Examiner Name	Thomas A. DIXON
Sheet	23	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Think C: Object-Oriented Programming Manual, Symantec Corporation, 1989.	
		THINK Pascal: The Fastest Way to Finished Software, Symantec Corporation, 1990, pp. 93-123.	
		Thomas, R.K., et al., "Implementing the Message Filter Object-Oriented Security Model without Trusted Subjects," Proceedings of the IFIP Workshop on Database Security, August 19-21, 1992, Vancouver, Canada, 21 pages.	
		Thompson, Victoria P., et al., "A Concept for Certification of an Army MLS Management Information System", Proceedings of the 16th National Computer Security Conference, September 20-23, 1993.	
		Thor, "A Distributed Object-Oriented Database System," MIT.	
		Thuraisingham, M.B., "Mandatory Security in Object-Oriented Database Systems," OOPSLA '89 Proceedings, October 1-6, 1989, pp. 203-210.	
		Thuraisingham, M.B., et al., "Parallel Processing and Trusted Database Management Systems," ACM, 1993.	
		Ting, T.C., et al., "Requirements, Capabilities and Functionalities of User Role Based Security for an Object-Oriented Design Model," Database Security, V: Status and Prospectus, 1992, pp. 275-297.	
		Tirkel, A.Z. et al., "Electronic Water Mark," (undated), 5 pages.	
		Toohey, J., Using OLE 2.X in Application Development, Que Corporation, 1994	
		Townsend, J.E., "NIST on Internet Security," March 22, 1994, pp. 1-15.	
		Trusted Unix Working Group (TRUSIX) Rationale for Selecting Access Control List Features for the UNIX (R) System, National Computer Security Center, August 18, 1989.	
		Tuck, Bill, "Electronic Copyright Management Systems: Final Report of a Scoping Study for Elib," Jul. 1996.	
		TULIP Final Report, ISBN 0-444-82540-1, 1991, revised September 18, 1996.	
		Uhler, Stephen A., "PhoneStation, Moving the Telephone onto the Virtual Desktop," 1993 Winter USENIX, San Diego, California, January 25-29, 1993, pp. 131-140.	
		UniverCD: The InterActive, Online Library of Product Information From Cisco Systems, Cisco Systems 1993.	
		Unix System v. Release 3.2. Programmer's Guide. Vol. II, AT&T, Prentice Hall, 1989.	
		van Gilluwe, F., The Undocumented PC: A Programmer's Guide to I/O, Cpus, and Fixed Memory Areas, Addison-Wesley Publishing Company, 1994.	
		van Schyndel, R.G., et al., "A Digital Watermark," (undated), 3 pages.	
		Van Slype, Georges et al, "The Future of CITED; a Feasibility Study," ESPRIT II, Project 5469, The CITED Consortium, Nov. 15, 1993.	
		Van Slype, Georges et al., "Natural Language Version of the Generic CITED Model, Ver. 4.2, Vol. I: Presentation of the Generic Model," ESPRIT II, Project 5469, The CITED Consortium, May 8, 1995.	
		Van Slype, Georges et al., "The Future of CITED: A Feasibility Study, Ver. 1.0, Vol. II: Full Report," ESPRIT II, Project 5469, The CITED Consortium, Feb. 28, 1994.	
		Van Slype, Georges, "Draft CITED Interchange Formats, Ver. 1.0", ESPRIT II, Project 5469, the CITED Consortium, Jan. 28, 1994.	
		Van Slype, Georges, "Knowledge Economy; Future Trends," CITED 5469.	
		Van Slype, Georges, "Natural Language Version of the generic CITED model Vol. I:	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	09/948,369
Filing Date	February 4, 2000
First Named Inventor	Victor H. SHEAR et al.
Art Unit	3629
Examiner Name	Thomas A. DIXON
Attorney Docket Number	07451.0010-01

Sheet 24 of 25

NON PATENT LITERATURE DOCUMENTS

	Presentation of the generic model, ver. 3.0", and "Vol. II: CITED usage monitoring system design for computer based applications, ver. 1.0" Project 54659, The CITED Consortium.	
	Van Slype, Georges, "Natural Language Version of the Generic CITED Model, Ver. 2.1, Vol. II ECMS (Electric Copyright Management System) Design for Computer Based Applications," ESPRIT II, Project 5469, The CITED Consortium, May 8, 1995.	
	Van Slype, Georges, "PL4 RACE/ACCOPI Workshop on Conditional Access and Copyright Protection," ESPRIT II, Project 5469, Presentation of the CITED, Nov. 9, 1994.	
	Van Slype, Georges, "PL4 RACE/ACCOPI Workshop on Conditional Access and Copyright Protection," ESPRIT II, Project 5469, The CITED Consortium, Nov. 9, 1994.	
	Van Slype, Georges, "The CITED Approach, Ver. 4.0," ESPRIT II, Project 5469, The CITED Consortium, Apr. 20, 1994.	
	Van Slype, Georges, "The Future of CITED: A Feasibility Study, Ver. 1.0, Vol. I: Summary Report and Recommendations," ESPRIT II, Project 5469, The CITED Consortium, Feb. 28, 1994.	
	Van Slype, Georges, "The Future of CITED: A Feasibility Study, Ver. 1.1, Vol. I: Summary Report and Recommendations," ESPRIT II, Project 5469, The CITED Consortium, Mar. 28, 1994.	
	Van Slype, Georges, "The Future of CITED: A Feasibility Study, Ver. 1.1, Vol. III: Draft CITED Interchange Formats," ESPRIT II, Project 5469, The CITED Consortium, Feb. 28, 1994.	
	Vickers Benzel, T.C., et al., "Identification of Subjects and Objects in a Trusted Extensible Client Server Architecture," (undated), pp. 1-17.	
	Vittal, J., "Active Message Processing: Messages as Messengers," Bolt, Beranek and Newman, Inc., 1980, pp. 175-195.	
	Voydock, V.L., et al., "Security Mechanisms in High-Level Network Protocols," Computing Surveys, vol. 15, no. 2, June 1983, pp. 135-171.	
	Wagner, N. "Fingerprinting," Drexel University, IEEE Symp. On Info. and Privacy, Apr. 1993.	
	Walker, Bruce, J., et al., Computer Security and Protection Structures, Dowden, Hutchinson, & Ross, Inc., 1977.	
	Walker, S., "Notes from RSA Data Security Conference," January 18, 1994, pp. 1-3.	
	Ware, W., Chairman RAND Corporation "Panel: The InterTrust Commerce Architecture," 1997, 6 pages.	
	Wayner, P., "Agents Away," Byte.com, May 1994, pp. 1-9.	
	Wayner, Peter, Digital Copyright Protection, Academic Press, 1997.	
	Weadon, P.D., "The SIGSALY Story," December 10, 2002.	
	Wells, Rob, Odyssey of Plastic Purchase; 20-Second Round Trip, Associated Press, Dec. 1993.	
	White, James E., "Telescript: The Foundation for the Electronic Marketplace", Ver. 5.0, General Magic, Inc., November 30, 1993, pp. 1-13.	
	White, Steve R., et al., "ABYSS: An Architecture for Software Protection", IEEE Transactions on Software Engineering, Vol. 16, No. 6, Jun. 1990.	
	Willett, S., "Metered PCs: Is Your System Watching You?, Wave Systems Beta Tests New Technology," IDG Communications, Inc., May 2, 1994, pp. 1-6.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	09/948,369
				Filing Date	February 4, 2000
				First Named Inventor	Victor H. SHEAR et al.
				Art Unit	3629
				Examiner Name	Thomas A. DIXON
Sheet	25	of	25	Attorney Docket Number	07451.0010-01

NON PATENT LITERATURE DOCUMENTS			
		Williams, S., "An MSJ Interview with Microsoft's Chief Architect of OLE, Tony Williams," Microsoft Systems Journal, October 1993, pp. 55-66.	
		Williams, Tony, "Microsoft Object Strategy", Microsoft PowerPoint Presentation", 1990.	
		Winslet et al., "Formal Query Languages for Secure Relational Databases," ACM Transactions on Database Systems, Vol. 19, No. 4, Dec. 1994.	
		Wong, R., et al., "The SIDOS System: A Secure Distributed Operating System Prototype," Odyssey Research Associates, October 1989, pp. 172-183.	
		Woo, Thomas, Y.C., et al., "A Framework for Distributed Authorization," Proceedings of the 1st Conference Computer and Communication Security, November 1993, pp. 112-118.	
		Wood, P.H., et al., UNIX System Security, Pipeline Associates, Inc., 1985.	
		Working with Windows Objects, Microsoft Press, OLE 2 Programmer's Reference; Volume 1, 1994.	
		Yee, B., et al., "Secure Coprocessors in Electronic Commerce Applications," Proceedings of the First Usenix Workshop on Electronic Commerce, New York, New York, July 1995, 16 pages.	
		Young, W.D., "Verifiable Computer Security and Hardware: Issues," Technical Report, Computational Logic Inc., September 1991, 43 pages.	
		Zelevnick, M.P., "Security Design in Distributed Computing Applications," Department of Computer Science, University of Utah, December 1993, 16 pages.	
		Zelnick, Nate, "Keeping Business Safe on the Internet," PC Magazine, April 25, 1995, pp. 1-2.	
		Zurko, M.E., "Panels at the 1997 IEEE Symposium on Security and Privacy," Oakland, CA, May 1997, 12 pages.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.